

**21—6.14 (17A,22) Personally identifiable information.** This rule describes the nature and extent of personally identifiable information which is collected, maintained, and retrieved by the agency by personal identifier in record systems as defined in rule 6.1(17A,22). For each record system, this rule describes the legal authority for the collection of that information, the means of storage of that information and indicates whether a data processing system matches, collates, or permits the comparison of personally identifiable information in one record system with personally identifiable information in another record system. Unless otherwise stated, the authority for this department to maintain the record is provided by Iowa Code chapter 159. The record systems maintained by the agency are:

**6.14(1) *Personnel files.*** The agency maintains files containing information about employees, families and dependents, and applicants for positions with the agency. The files include payroll records, biographical information, medical information relating to disability, performance reviews and evaluations, disciplinary information, information required for tax withholding, information concerning employee benefits, affirmative action reports, and other information concerning the employer-employee relationship. This material includes personally identifiable information such as name, address, social security number and employee payroll number. Some of this information is confidential under Iowa Code section 22.7(11). These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system.

**6.14(2) *Litigation files.*** These files or records contain information regarding litigation or anticipated litigation, which includes judicial and administrative proceedings. The records include briefs, depositions, docket sheets, documents, correspondence, attorneys' notes, memoranda, research materials, witness information, investigation materials, information compiled under the direction of the attorney, and case management records. The files contain materials which are confidential as attorney work product and attorney-client communications. Some materials are confidential under other applicable provisions of law or because of a court order. Persons wishing copies of pleadings and other documents filed in litigation should obtain these from the clerk of the appropriate court which maintains the official copy. These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system.

**6.14(3) *Contested case matters.*** These records are collected and maintained pursuant to Iowa Code sections 17A.3(1) "d," 17A.3(2), 17A.12, and Iowa Code chapters and sections noted in subrules 6.14(4) and 6.14(5). Contested case matters include all pleadings, motions, briefs, orders, transcripts, exhibits, and physical evidence utilized in the resolution of the matter. These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system.

**6.14(4) *Licensure, permit or certification records.*** The department regulates by license, permit, or certification a number of agriculture-related practices, under various chapters of the Iowa Code. Licensing records generally include, but are not limited to, information identifying the licensee by name, location, and form of business entity, including the names of corporate principals. Examination and compliance reports may be included in the license records. These records may include confidential information protected from disclosure under Iowa Code section 22.7(3), 22.7(6), or 22.7(18). These licensing records include but are not limited to:

*a.* Animal industry. Under Iowa Code chapters 163, 163A, 164, 165, 166C, 169A, and 172B, the department maintains records regarding regulation of animal health, including, but not limited to: calfhood vaccination tags, filed under the name of the administering veterinarian, identified by code, or for some disease vaccinations, by name or code of herd owner; swine and cattle approved premises, license filed by county and premises number, identified by owner's name or code; livestock market and agents and livestock dealers and agents, license identified by name or code; quarantine orders, identified by herd owner's name or code; bull breeder's license, identified by owner's name or code; livestock importation certificates, identified by name or code of Iowa purchaser; slaughter affidavits, identified by herd owner's name or code; brand certificates, identified by owner's name or code; large and small animal health certificates, identified by owner's name or code.

Under Iowa Code chapter 162, the department maintains records regarding the regulation of animal welfare, including, but not limited to: state kennel licenses or federal registrations, identified by owner's

name or code; state pound certification or federal registrations, identified by owner's name or code; state shelter certification or federal registration, identified by owner's name or code; dealer's license or federal registration, identified by name or code.

Under Iowa Code chapters 189 and 189A, the department maintains records regarding the regulation of meat and poultry, including but not limited to: licensing of meat or poultry processing plants, identified by plant owner's name or code; registration of labeling, formulation, and processing procedures, identified by plant owner's name or code; inedible permits, identified by plant owner's name or code.

Under Iowa Code chapter 169, the department maintains jointly with the board of veterinary medicine records regarding the licensure of veterinarians and animal technicians, identified by name or code. In addition to general provisions, these records may include information deemed confidential under Iowa Code section 272C.6.

These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system.

*b.* Grain warehousing. Under Iowa Code chapters 203, 203A, and 203C, the department maintains records regarding the licensure of grain dealers, grain bargaining agents, grain sellers, and grain warehouses, identified by licensee's name or code. These files may contain information which is confidential under Iowa Code section 22.7(12), 203.16, or 203C.24, specifically including financial statements. Files cross-referenced by licensee name or code include receivership files and indemnity fund claim files, which records identify both the licensee and the names of claimants against the licensee. The latter records are maintained jointly with the grain indemnity fund board. These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system.

*c.* Dairy products. Under Iowa Code chapters 189, 190, 190A, 191, 192, 194, and 195, the department maintains records regarding the regulation of dairy products, including but not limited to: milk plant permit, identified by owner's name or code; grade "A" farm permit, identified by operator's name or code; grade "B" farm permit, identified by operator's name or code; hauler/grader license, identified by person's name or code; tester license, identified by person's name or code; milk truck license, identified by owner's name or code. These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system.

*d.* Horse and dog breeding. Under Iowa Code section 99D.22, the department maintains records regarding the registration of Iowa-foaled horses and Iowa-whelped dogs, including but not limited to: Iowa stallion eligibility certificate, identified by owner's name or code; brood mare registration, identified by owner's name or code; Iowa-foaled horse certification, identified by breeder's name or code; Iowa-whelped litter registration, identified by breeder's name or code; Iowa-whelped individual registration, identified by owner's name or code. These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system.

*e.* Weights and measures. Under Iowa Code chapters 208A, 212, 214, 214A, 215, and 215A, the department maintains records regarding the regulation of weights and measures, including but not limited to: antifreeze permit, identified by manufacturer's name or code; public scale license, identified by owner's name or code; service agency's bond, identified by person's name or code; servicer's license, identified by person's name or code. These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system.

*f.* Pesticides. Under Iowa Code chapter 206, the department maintains records regarding the regulation of pesticide use, including but not limited to: commercial pesticide applicator licenses and certifications, identified by person's name or code; private pesticide applicator certification, identified by person's name or code; pesticide product registration, identified by distributor's name or code; pesticide dealer licenses, identified by person's name or code. These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system.

*g.* Fertilizer. Under Iowa Code chapters 200 and 201, the department maintains records regarding the regulation of fertilizer use, including but not limited to: fertilizer dealer license, identified by person's

name or code; registration of bulk fertilizer, identified by manufacturer's name or code; registration of fertilizer sold in packages of 25 pounds or less, identified by manufacturer's name or code; agricultural limestone license, identified by operator's name or code; fertilizer inspection fee report, identified by manufacturer's name or code; groundwater protection fee report, identified by manufacturer's name or code. These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system.

*h.* Seed. Under Iowa Code chapter 199, the department maintains records regarding agricultural seeds, including but not limited to: seed permit, identified by person's name or code; seed permit holder's bond, identified by person's name or code. These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system.

*i.* Feed. Under Iowa Code chapter 198, the department maintains records regarding commercial feed, including but not limited to: feed facility registration, identified by manufacturer's name or code; feed manufacturer's product registration (10 pounds or less), identified by manufacturer's name or code; feed manufacturer's product registration (exceeding 10 pounds or in bulk), identified by manufacturer's name or code; semiannual commercial feed tonnage report, identified by manufacturer's name or code; commercial feed tonnage reports, identified by manufacturer's name or code. These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system.

*j.* Mines and minerals. Under Iowa Code chapters 207 and 208, the department, jointly with the state soil conservation committee, maintains records regarding mines and minerals, including but not limited to: licensed mine operators, identified by operator's name or code; registered mine sites, identified by operator's name or code; permitted coal mine sites, identified by operator's name or code; coal exploration permits, identified by operator's name or code. These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system.

**6.14(5)** *Nonlicensee investigations and records.* The department has general authority in various areas to regulate agriculture-related practices without the necessity of license issuance. The investigations may be part of a criminal prosecution, and therefore records may be confidential under Iowa Code section 22.7(4). Other reports may be confidential under Iowa Code section 22.7(3), 22.7(6) or 22.7(18). These records will be identified by the name of the subject of the investigation or report. These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system. These records include but are not limited to:

- a.* Apiary investigations pursuant to Iowa Code chapter 160.
- b.* Soybean assessment audits, soybean first buyer report, pursuant to Iowa Code chapter 185.
- c.* Corn assessment audits, corn promotion board remittance report, pursuant to Iowa Code chapter 185C.
- d.* Dairy trade practices price lists, permit fees, pursuant to Iowa Code chapter 192A, confidential pursuant to Iowa Code sections 22.7(6) and 192A.7.
- e.* Pesticide residue analysis, pursuant to Iowa Code chapter 206.

**6.14(6)** *Laboratory reports.* In furtherance of license or nonlicense regulation of subject areas under subrules 6.14(4) and 6.14(5), the department may prepare laboratory reports consisting of analytical results of samples. These records may include confidential information protected from disclosure under Iowa Code section 22.7(3), 22.7(6), or 22.7(18). These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system. These records are identified by the name of the subject of the investigation.

**6.14(7)** *Grant or loan records.* Under Iowa Code chapters 161A and 161B, the soil conservation division of the department maintains records regarding grants and cost-sharing programs, identifying the name of the recipient or applicant. These records are jointly maintained by the division and the state soil conservation committee. These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system.

Under Iowa Code chapter 175, the staff of the agricultural development authority, within the department, maintain records regarding the issuance of bonds and underwriting of loans, identified by the name of the recipient or applicant. These records are jointly maintained by the department and the

agricultural development authority. These records are primarily maintained in paper copy, with some material generated or maintained in a data processing system.